



2161

Rev. 04/01

Docket No. CF/013

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Glenn D. Kirwin et al.
Application No.: 09/745,651 Confirmation No.: 1536
Filed : December 22, 2000
For : SYSTEMS AND METHODS FOR PROVIDING A
TRADING INTERFACE
Group Art Unit : 2161
Examiner : Not yet assigned

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for Patents
Post Office Box 2327
Arlington, Virginia 22202

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

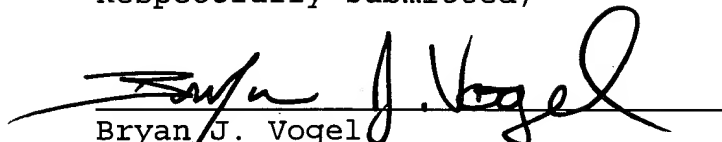
Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This
Statement is submitted:

- ☐ [] within three months of the application filing date;
- ☒ [X] more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of
this Statement requires no fee. However, if for any reason
a fee is due, the Director is hereby authorized to charge
payment of any fees required in connection with this
Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Bryan J. Vogel
Registration No. 44,389
Attorney for Applicants

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December 13, 2001
Lillian Garcia


Signature of Person Signing



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Arlington, Virginia 22202

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants
hereby make the following references of record in the
above-identified patent application:

U.S. PATENTS

3,573,747	Adams et al.	4/6/71
3,976,840	Cleveland et al.	8/24/76
5,101,353	Lupien et al.	3/31/92
5,168,446	Wiseman	12/1/92
5,297,031	Guttermann et al.	3/22/94
5,297,032	Trojan et al.	3/22/94
5,463,547	Markowitz et al.	10/31/95
5,724,524	Hunt et al.	3/3/98
5,870,724	Lawlor et al.	2/9/99
6,064,981	Barni et al.	5/16/2000
6,134,535	Belzberg	10/17/2000

FOREIGN PATENT DOCUMENTS

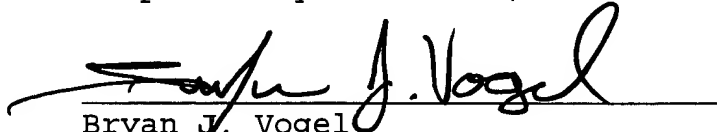
JP 11-25158	1/29/99	Japan
WO 98/49639	11/5/98	PCT

Copies of the aforementioned references, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

It is respectfully requested that these references be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO-1449, as considered and initialled by the Examiner, be returned with the next communications.

An early and favorable action is respectfully requested.

Respectfully submitted,



Bryan J. Vogel
Registration No. 44,389
Attorney for Applicants

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